


IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants:	Gilbert Kwok	§	Group Art Unit:	3691
		§		
Application No:	10/034,051	§	Examiner:	Lui, I Jung
		§		
Filed:	12/27/2001	§	Confirmation No:	1679
		§		
Attorney Docket No: P12698-US1				
Customer No.: 27045				

For: Systems and methods for secure authorization of electronic transactions

Mail Stop Appeal Brief - Patents
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

<p align="center"><u>CERTIFICATE OF MAILING OR TRANSMISSION</u></p> <p>I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage for First class or Express mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, or being facsimile transmitted to the USPTO at (571) 273-8300 or transmitted via EFS-Web on the date indicated below.</p> <p>Date: <u>October 24, 2007</u></p> <p>Name: <u>Pam Ewing</u></p> <p>Signature: <u></u></p>

Dear Examiner:

PRE-APPEAL BRIEF REQUEST FOR REVIEW

Issues regarding the Pre-Appeal Brief Request are as follows:

The Examiner has failed to prove prima facie anticipation in view of Van Rensburg and prima facie obviousness in view of Van Rensburg and Atkins.

PENDING REJECTIONS

Claims 1-11 stand rejected as being anticipated by Van Rensburg, et al. (US 2003/0004891 A1). Claims 12-22 stand rejected as being unpatentable over Van Rensburg in view of Atkins, et al. (US 5,644,727). The Applicant respectfully disagrees.

ARGUMENTS

1.) Claim Rejections – 35 U.S.C. §102(e)

The Examiner has maintained the rejection of claims 1-11 as being anticipated by Van Rensburg, *et al.* (US 2003/0004891 A1). The Applicant traverses the rejections.

First, it is to be remembered that anticipation requires that the disclosure of a single piece of prior art reveals every element, or limitation, of a claimed invention. Furthermore, the limitations that must be met by an anticipatory reference are those set forth in each statement of function in a claims limitation, and such a limitation cannot be met by an element in a reference that performs a different function, even though it may be part of a device embodying the same general overall concept. Whereas Van Rensburg fails to anticipate each and every limitation of claim 1, performed in the sequence recited therein, claim 1 is not anticipated thereby.

According to Applicant's claimed invention, a request for an electronic transaction is sent to the vendor system before a request for authorization from the vendor system is transmitted to a transaction authorization system. This is true even though Applicant's "exact wording" of claim 1 does not recite the term "first" or "before." The first two limitations of claim 1 recited:

receiving a request for an electronic transaction at a vendor system, said request including a telephone number associated with a wireless telephone;

transmitting, in response to receipt of said request for an electronic transaction, a request for authorization from said vendor system to a transaction authorization system; (emphasis added).

Whereas the request for authorization is transmitted from the vendor system to a transaction authorization system, in response to receipt of the request for an electronic transaction, it is inherent that the request for an electronic transaction is first sent to a vendor system; *i.e.*, the request for electronic transaction must be sent before the vendor system can, in response to the receipt thereof, transmit a request for authorization to a transaction authorization

system. The sequence of these steps alone is sufficient to distinguish Applicant's invention over the teachings of Rensburg.

As previously noted by Applicant, Van Rensburg discloses a system (see Figure 1) in which a mobile terminal 1 communicates directly with a "general computerized server (7)." (§0062) The computerized server (7) **then communicates** with "participating banking institutions (15); **with vendors** (16); with merchants (17) . . . as well as information services (18)." (§0064; emphasis added) The computerized server (7) is:

"programmed to enable the debiting from a relevant data base record which has an adequate positive balance (or specially arranged credit facilities) to another data base record . . . Thus, a participating system member [*i.e.*, cellular telephone user] will operate the cellular telephone to select a desired transaction with a selected recipient [*e.g.*, a vendor] and in respect of an inputted amount and will then communicate with the computerized server. The computerized server will check that the PIN or other security signal is in order; will check that the necessary funds or credit facility is available; will check the validity of the identity of the selected recipient; and the program will then cause the server to transfer the relevant funds from the data base record of the instructing participating system member [*i.e.*, the cellular telephone user] to the data base record of a recipient [*e.g.*, the vendor] . . ."
(§0072)

Thus, it can be seen that, according to the teachings of Van Rensburg, a user of a mobile terminal instructs a computerized server to pay a vendor, wherein the instruction **is sent directly from the mobile terminal to the computerized server**, and **not first to a vendor system**. There is simply no teaching that a request for an electronic transaction **is first sent to a vendor system**, wherein the request includes the telephone number of a mobile terminal.

The Examiner also states, in response to Applicant's arguments that Rensburg fails to show certain additional elements of the claimed invention, that the features upon which the Applicant relies are not recited in the rejected claims. In each case, the Examiner states that the Applicant's arguments are "not directly [*sic*] to the exact wording" of the pending claims. **The Examiner's position is untenable.** For example, the Examiner states: "that a vendor system transmits a

request . . .” is not recited in the rejected claim(s). The Examiner, however, notes that in claim 1, the Applicant claims “transmitting, in response to receipt of said request for an electronic transaction, a request for authorization from said vendor system to a transaction authorization system.” (emphasis added). If the subordinate clause “in response to receipt of said request for an electronic transaction” is taken out of the claim element, it would read “transmitting a request for authorization from said vendor system . . .,” which is linguistically identical to what the Examiner asserts the Applicant does not claim (*i.e.*, “a vendor system transmits a request”).

Thus, the Examiner has failed to establish that Rensburg anticipates claim 1. Furthermore, whereas claims 2-11 are dependent from claim 1, and include the limitations thereof, those claims are also not anticipated.

2.) Claim Rejections – 35 U.S.C. §103(a)

The Examiner rejected claims 12-22 as being unpatentable over Van Rensburg in view of Atkins, *et al.* (US 5,644,727). The Applicant traverses the rejections.

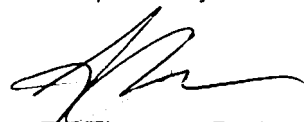
As established *supra*, Van Rensburg fails to anticipate claim 1 because it fails to teach the unique functions specified therein. Claim 12 recites analogous functions embodied in a system including certain conventional computer hardware. There are no teachings in Atkins that overcomes the deficiencies of Van Rensburg. Atkins also fails to teach a system wherein: 1) a request for an electronic transaction is sent to a vendor system, wherein the request includes the telephone number of a mobile terminal; 2) the vendor system then (*i.e.*, after receiving the request for an electronic transaction at the vendor system) transmits a request for authorization to a transaction authorization system, wherein the request for authorization includes the telephone number associated with a wireless telephone; 3) the transaction authorization system then transmits a request for confirmation to a messaging system associated with a wireless telephony system; 4) the wireless telephony system then transmits a message to

the wireless telephone associated with the telephone number; 5) subsequently, when a reply to the message is received from the wireless telephone, the transaction authorization system determines, from the content of the reply, whether a user of the wireless telephone has confirmed the electronic transaction; and 6) if so, the transaction authorization system transmits a transaction authorization message to the vendor system, which then completes the electronic transaction. Therefore, the Examiner has not established a *prima facie* case of obviousness of claim 12. Furthermore, whereas claims 13-22 are dependent from claim 12, and include the limitations thereof, those claims are also not obvious over Van Rensburg in view of Atkins.

CONCLUSION

In view of the foregoing remarks, the Applicant believes all of the claims currently pending in the Application to be in a condition for allowance. The Applicant, therefore, respectfully requests that the Panel withdraw all rejections and issue a Notice of Allowance for all pending claims.

Respectfully submitted,



By Thomas Bethea, Jr
Registration No. 53,987

Date: 10/24/2007

Ericsson Inc.
6300 Legacy Drive, M/S EVR 1-C-11
Plano, Texas 75024

(972) 583-5497
Thomas.bethea.jr@ericsson.com